

FORM PTO-1700
(REV 10-95)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/509838

INTERNATIONAL APPLICATION NO.

PCT/JP03/04707

INTERNATIONAL FILING DATE

April 14, 2003

PRIORITY DATE CLAIMED

April 15, 2002

TITLE OF INVENTION

RECORDING AND REPRODUCING APPARATUS AS WELL AS RECORDING AND REPRODUCING METHOD

APPLICANT(S) FOR DO/EO/US

Shigetaka Kudou

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A **FIRST** preliminary amendment.
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:

1. Formal Drawing 39 figures 30 sheets

2. Copy of Search Report and its English Translation

10/509838

US PATENT AND TRADEMARK OFFICE				ATTORNEY'S DEPOSIT NUMBER																																																					
<p>17. <input checked="" type="checkbox"/> The following fees are submitted:</p> <p>BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):</p> <p>Search Report has been prepared by the EPO or JPO \$</p> <p>International preliminary examination fee paid to USPTO (37 CFR 1.482) \$</p> <p>No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) \$</p> <p>Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$</p> <p>International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) \$</p> <p>ENTER APPROPRIATE BASIC FEE AMOUNT = \$ 920</p> <p>Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).</p> <table border="1"> <thead> <tr> <th>CLAIMS</th> <th>NUMBER FILED</th> <th>NUMBER EXTRA</th> <th>RATE</th> </tr> </thead> <tbody> <tr> <td>Total claims</td> <td>16 - 20 =</td> <td></td> <td>X \$ 18</td> </tr> <tr> <td>Independent claims</td> <td>2 - 3 =</td> <td></td> <td>X \$ 86</td> </tr> <tr> <td colspan="3">MULTIPLE DEPENDENT CLAIM(S) (if applicable)</td> <td>+ \$</td> </tr> <tr> <td colspan="3">TOTAL OF ABOVE CALCULATIONS =</td> <td>\$ 920</td> </tr> <tr> <td colspan="3">Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28).</td> <td>\$</td> </tr> <tr> <td colspan="3">SUBTOTAL =</td> <td>\$ 920</td> </tr> <tr> <td colspan="3">Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).</td> <td>\$</td> </tr> <tr> <td colspan="3">TOTAL NATIONAL FEE =</td> <td>\$</td> </tr> <tr> <td colspan="3">Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property</td> <td>\$ 40</td> </tr> <tr> <td colspan="3">TOTAL FEES ENCLOSED =</td> <td>\$ 960</td> </tr> <tr> <td colspan="3"></td> <td>Amount to be refunded \$</td> </tr> <tr> <td colspan="3"></td> <td>charged \$</td> </tr> </tbody> </table>				CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	Total claims	16 - 20 =		X \$ 18	Independent claims	2 - 3 =		X \$ 86	MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$	TOTAL OF ABOVE CALCULATIONS =			\$ 920	Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28).			\$	SUBTOTAL =			\$ 920	Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).			\$	TOTAL NATIONAL FEE =			\$	Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property			\$ 40	TOTAL FEES ENCLOSED =			\$ 960				Amount to be refunded \$				charged \$	<p>CALCULATIONS PTO USE ONLY</p>	
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- a. ☒ A check in the amount of \$ 960 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 03-3125. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Customer Number - 23432

Jay H. Maioli, Esq.

Cooper & Dunham LLP.

1185 Avenue of the Americas

New York, New York 10036

Tel: 212-278-0400

Fax: 212-391-0525

Pedro C. Fernandez

SIGNATURE

Pedro C. Fernandez

NAME

41,741

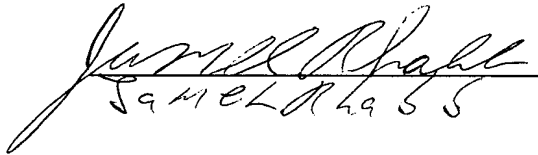
REGISTRATION NUMBER

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

"Express Mail" Mailing Label No. EL969548175US

Date of Deposit: September 30, 2004

I hereby certify that this Application is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, V.A. 22313-1450.


Samuel A. Hall

Applicant: Shigetaka Kudou
6640/69077

Title: RECORDING AND REPRODUCING APPARATUS AS WELL AS
RECORDING AND REPRODUCING METHOD

JAY H. MAIOLI
REG. NO. 27,213

PEDRO C. FERNANDEZ
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10/509838

DT04 Rec'd PCT/PTO 30 SEP 2004

VERIFICATION OF A TRANSLATION

I, the below named translator, hereby declare that:

My name and Post Office Address are as stated below;

That I am knowledgeable about the English language and about the language in which the below identified International Application was filed, and that I believe the English translation of the International Application No. PCT/JP03/04707 is a true and complete translation of the above identified International Application as filed.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Date: September 27, 2004

Tadashi Shigeyama

Full name of the translator:

Signature of the translator:

Tadashi Shigeyama

Post Office Address:

c/o SHIN-YU INTERNATIONAL
PATENT FIRM
Shinjuku Bldg., 8-1,
Nishishinjuku 1-chome,
Shinjuku-ku, Tokyo, Japan

PCT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Shigetaka Kudou

Serial No. : 10/509,838

Filed : September 30, 2004

For : RECORDING AND REPRODUCING APPARATUS AS WELL AS
RECORDING AND REPRODUCING METHOD

Group A.U. :

Date : October 26, 2004

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Transmitted herewith is a Preliminary Amendment in the above-identified application.

- ☒ No fee is required.
- ☐ The fee has been calculated as shown below.
- ☐ Total claims in excess of 20 previously paid for, at \$18 (\$9) ____.
- ☐ Independent claims in excess of 3 previously paid for, at \$88 (\$44) ____.
- ☐ Additional Fee for this Amendment ____.
- ☐ This response is being filed within the ____ first month, ____ second month, ____ third month, ____ fourth month, ____ fifth month following the expiration of the term originally set therefor. Applicants Petition for an extension, and the fee of ____ \$110 (\$55), ____ \$430 (\$215), ____ \$980 (\$490), ____ \$1,530 (\$765), ____ \$2,080.00 (\$1,040.00) is due and paid herewith.
- ☐ The fee of \$ ____ set by 37 C.F.R. § 1.17(p) for the Information Disclosure Statement is due and paid herewith.
- ☐ A check in the amount of \$ ____ is attached.
- ☒ Please charge any additional fees or credit any overpayment to Deposit Account No. 03-3125.

COOPER & DUNHAM, LLP

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